



Senior Executive Service Performance Plan

U.S. Department of Health and Human Services

EXECUTIVE'S NAME Colleen Barros	POSITION TITLE Deputy Director for Management, NIH
ORGANIZATION: HHS/NIH/Office of the Director	APPRAISAL PERIOD: 10/1/2004-9/30/2005
PART I. PERFORMANCE PLAN DEVELOPMENT, MONITORING AND APPRAISAL	
A. Performance Plan Development	
Executive's Signature _____	_____ Date
Rating Official's Signature _____	_____ Date
B. Progress Review – Attach comments in accordance with instructions. (Complete not later than midway through the performance cycle and not earlier than 90 days after the plan is developed.)	
Executive's Signature _____	_____ Date
Rating Official's Signature _____	_____ Date
C. Initial Summary Rating – Attach narrative in accordance with instructions.	
<input type="checkbox"/> Exceptional <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	
Executive's Signature _____	_____ Date
Rating Official's Signature _____	_____ Date
D. Performance Review Board (PRB) Recommendation for Rating and Recognition – Attach comments, if applicable.	
<input type="checkbox"/> Exceptional <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	
Pay Increase: _____ Performance Bonus _____ (enter as a percentage of base salary)	
Performance Review Board Signature _____	_____ Date
E. Annual Summary Rating – Attach comments in accordance with instructions.	
<input type="checkbox"/> Exceptional <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	
Pay Increase: _____ Performance Bonus _____ (enter as a percentage of base salary)	
OPDIV Head's Signature _____	_____ Date
F. Final Performance Rating and Recognition – Attach comments if applicable.	
<input type="checkbox"/> Exceptional <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Satisfactory <input type="checkbox"/> Unsatisfactory	
Pay Increase: _____ Performance Bonus _____ (enter as a percentage of base salary)	
Department _____	_____ Date



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PART II. RATING LEVEL DEFINITIONS

Exceptional (E): The executive performed as a model of excellence. Indicators of performance at this level include measurable improvements in program performance that exceed defined goals, as described in the annual performance plan and as measured by appropriate assessment tools; increased staff productivity; improved customer and employee satisfaction; and demonstrated flexibility and adaptability in dealing with and responding productively to changing priorities, unanticipated resource shortages and externally driven deadlines. The executive consistently demonstrated the highest level of integrity and accountability in achieving HHS program and management goals. The executive's contributions had impact beyond his or her immediate purview. The executive exerted a major positive influence on management practices, operating procedures or program implementation, which contributed substantially to organizational change, growth and recognition.

Fully Successful (FS): All program objectives were met, as described in the annual performance plan and as measured by appropriate assessment tools; employee satisfaction indicates a positive organizational climate; customers are satisfied with program results; and the executive successfully resolved operational challenges without the requirement for higher level intervention. The executive consistently demonstrated the highest level of integrity and accountability in achieving HHS program and management goals. The executive took follow-up actions based on performance information available to him/her and pinpointed improvement opportunities to achieve organizational results and improve employee and customer perspectives.

Minimally Satisfactory (MS): The executive had difficulties in meeting expectations. Actions taken by the executive were sometimes inappropriate or marginally effective and did not significantly contribute to any positive results achieved. While working relationships may be generally sound, the executive's impact on program performance, employee productivity, morale, organizational effectiveness and/or customer satisfaction needs improvement, as described in the annual performance plan and as measured by appropriate assessment tools. **Immediate improvement is essential.**

Unsatisfactory (U): The executive failed to meet expectations. Repeated observations of performance indicated negative consequences in key outcomes (e.g., quality, timeliness, business results, customer satisfaction, morale, etc.), as described in the annual performance plan and as measured by appropriate assessment tools. Performance is grounds for reassigning or removing the executive from the SES.

PART III. CRITICAL ELEMENTS

1. Executive Leadership

Performance Requirement: Leads in a proactive, customer-responsive manner consistent with Agency vision and values, effectively communicating program issues to external audiences. Ensures financial and managerial accountability by acting with prudence when executing fiduciary responsibilities. Demonstrates integrity and adheres to the highest ethical standards of public service. Uses effective business practices including balanced measures of results; values and invests in each employee; promotes workforce diversity; provides fair and equitable recognition and equal opportunity; emphasizes empowerment, two-way communication and teamwork.

Critical Element Rating: E ☐ FS ☐ MS ☐ U ☐

2. Performance Agreement (Program and Management Outcomes)

Performance Requirement: Accountable for key program and management outcomes that contribute to the success of the Agency, effectively achieving results-oriented goals in sync with Strategic Planning Initiatives, such as the HHS Strategic Plan, and major management and program goals and objectives supported by the Secretary. Performance is of high quality and integrity, efficient, effective, producing significant benefits and results. Results provide customers, internal and external, services equal or superior to that in comparable sectors. Is committed to enhancing support for and understanding of Agency programs. Fosters effective improvements. Outputs reflect balanced consideration of the public's and other stakeholders' concerns.

Critical Element Rating: E ☐ FS ☐ MS ☐ U ☐



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Colleen Barros	Deputy Director for Management, NIH
A. Program Outcomes (Enter the Program Outcomes required for your individual performance plan. Add as many bullets as necessary in 1-10 below. See attached instructions)	
1. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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•	
2. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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•	
3. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
•	
•	
4. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
•	
•	
5. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
•	
•	
6. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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7. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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8. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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9. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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10. N/A	Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>
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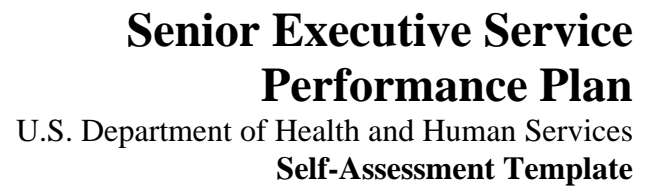
EXECUTIVE'S NAME Colleen Barros	POSITION TITLE Deputy Director for Management, NIH
B. Management Outcomes (Enter the Management Outcomes required for your individual performance plan. Add as many bullets as necessary in 1-10 below. See attached instructions)	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
1. Implement Results-Oriented Management	
<ul style="list-style-type: none"> Create meaningful, results-oriented performance contracts for all employees. Establish long-term outcome goals and annual target and report progress in achieving goals and targets in the annual performance budget. 	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
2. Implement Strategic Human Capital Management	
<ul style="list-style-type: none"> By February 4, 2005, develop and submit to ASAM a 2-year NIH human capital strategy to assist managers with succession planning activities. Meet identified goals, milestones, and action items. Reduce average hiring time for SES and all other positions by 50%. The averages are based on time from closing date of vacancy announcement until hiring offer is made. Support development of a single Departmental performance appraisal system for managers and implement new system by August 2005. 	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
3. N/A	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
4. Complete the FY 2005 Competitive Sourcing Program	
<ul style="list-style-type: none"> Meet the OMB mandated "Green" Standards for Success Submit a complete FAIR Act Inventory and Reason Code A justifications to ASAM/OCS by April 29, 2005. Complete the FY 2005 Competitive Sourcing Plan. 	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
5. N/A	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
6. Consolidate Management Functions and Achieve Administrative Efficiencies	
<ul style="list-style-type: none"> Increase by a minimum of three, the number of service (e.g., purchasing supplies, equipment, etc., budget execution) and function (small business) consolidations and/or shared services initiatives. The initiatives may be within NIH or through Department wide participation. In each case, a supportable business case identifying time, cost, and/or service efficiencies will be prospectively documented along with identification of specific post implementation measures of success. Establish the NIH ARAC acquisition organizational structure before September 30, 2005. Identify the realigned acquisition offices, staffing and customers accordingly. Develop specific measures and reports that provide quantitative and evaluative information for Service Level Agreements. Build on the infrastructure provided by enterprise information systems such as UFMS. Comply with the implementation of HSPD-12 requirements as required and as directed by the DHHS in coordination with CIT. This includes physical and personnel security elements of HSPD-12 for "smart card" requirements for access to NIH facilities. 	
Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/>	
7. Improve Financial Management	
<ul style="list-style-type: none"> Continue Implementation of the NIH Business System (NBS), HHS' proof of concept for the UFMS development. <ul style="list-style-type: none"> Complete development of Tracks 3 and 4, Property and Acquisition (Supply Chain) and work with the UFMS Program Office (PO) to help insure an understanding of the business process functional requirements. Assist the UFMS PO via the contracted study that will determine the timing and extent of integration of NBS into UFMS. Contribute to the reduction of HHS improper payments (IPs) by 50 % by reducing IPs at the NIH. Take final action on audit management decisions and develop corrective actions that, once completed, will help HHS reduce identified findings by approximately 40% (\$210M). Continue to support NIH and HHS administrative restructuring and consolidation of business (administrative 	



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B. Management Outcomes (Enter the Management Outcomes required for your individual performance plan. Add as many bullets as necessary in 1-10 below. See attached instructions)	
management) systems. <ul style="list-style-type: none"> ○ Develop NBS Tracks 3 and 4 using the same software identified for use by the UFMS PO and assist in HHS' understanding. ○ Support HHS' implementation of eTravel. ○ Assure active NIH participation on UFMS governance committees and working groups. 	
<div style="text-align: right;">Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/></div> 8. Improve Real Property Asset Management	
<ul style="list-style-type: none"> • For FY 05 Buildings and Facilities Program, deliver all line-item projects within 100% of submitted OMB/Congressional budget. Deliver 90% of all line-item projects within submitted OMB/Congressional scope. Remaining projects will be within plus or minus 10% of OMB/Congressional scope. OMB/Congressional budget and scope shall be as reflected in Departmental approved budget and scope. • Facility Project Approval Agreements approved by September 30, 2005 by OS for 80% of FY 06 projects budgeted for planning/design with construction budgeted in subsequent year(s) and 90% of FY 06 projected budgeted construction. • Provide timely reports on facility utilization, facility condition assessment, mission criticality/dependency, historic real property assets, and real property inventory in accordance with stated HHS real property management objectives. • Complete commissioning of new NIH facilities so that they will be fully and productively operational and maintained within designated parameters. • Implement HHS-wide Environmental Management System and meeting requirements of Exec Order 13327. 	
<div style="text-align: right;">Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/></div> 9. Achieve Efficiencies Through HHS-wide Procurements	
<ul style="list-style-type: none"> • NIH will increase its usage of the full portfolio of consolidated contracts; once a consolidated purchasing mechanism is developed, NIH will use it exclusively to purchase 100% of commodity desktop PC's. • Meet or exceed the HHS Small Business Contracting Goal, which is 30% of NIH total procurement dollars. 	
<div style="text-align: right;">Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/></div> 10. Conduct Program Evaluations and Identify Strategies for Resolving Any Deficiencies	
<ul style="list-style-type: none"> • Review results of FY 04 ABS. Identify performance gaps. Use results to assist in the NIH's ARAC acquisition restructuring and to serve as a reference check for performance. • Conduct Acquisition Balanced Scorecard (ABS) on restructured NIH acquisition offices three years after implementation. <ul style="list-style-type: none"> ○ Report on progress at least every year. 	
<div style="text-align: right;">Aspect Rating: E <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> U <input type="checkbox"/></div> 11. Ethics Sub-Element for SES with Supervisory Responsibilities	
<ul style="list-style-type: none"> • Ensure employee awareness, training, compliance and discipline relative to ethics, financial disclosure, conflicts of interest, standards of conduct, political activity, and procurement integrity requirements. Reviews and makes determinations timely and accurately as to financial disclosure reports, employee requests for approval of outside activities, and other ethics clearance matters. 	

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